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## PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**(Case No. 05-981-H5; EX03-086C-US)**

**In the Application of:**

Albert K. Tai et al.

**International App. No.: PCT/US03/037548**

**U.S. Serial No.: 10/535,447**

**International Filing Date: November 24, 2003**

**For: CCT6S As Modifiers of the RB Pathway  
and Methods of Use**

**Examiner: To Be Assigned**

**Group Art Unit: To Be Assigned**

**Confirmation No. 8814**

## TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In regard to the above identified application,

1. We are transmitting herewith the attached:
  - a) Information Disclosure Statement (2 Sheets);
  - b) PTO/SB/08b (3 Sheets);
  - c) Copies of Cited References; and
  - d) Return receipt postcard.
2. With respect to fees:
  - a) No fee is believed to be due at this time.
  - b) Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.

3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1, are being deposited via First Class Mail with the United States Postal Service, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on Nov. 14 2006.

Respectfully submitted,

Date: Nov. 14 2006

Sherri L. Oslick  
Sherri L. Oslick, Ph.D.  
Reg. No. 52,087

- ## PATENT

### Foreign Documents

2. PCT Patent Publication No. WO 97/41433, published November 6, 1997.
3. PCT Patent Publication No. WO 99/41376, published August 19, 1999.

### Other Documents

4. Li Wen-Zhuo et al: "Tc20, a subunit of the eukaryotic TRiC chaperonin from humans and yeast" Journal of Biological Chemistry, Vol. 269, No. 28, 1994, pages 18616-18622, XP002394303.
5. Kubota Hiroshi et al.: "Structures and co-regulated expression of the genes encoding mouse cytosolic chaperonin CCT subunits", European Journal of Biochemistry, Vol. 262, No. 2, June 1999 (1996-06), pages 492-500, XP002394304.
6. Feldman Douglas E. et al.: "Formation of the VHL-elongin BC tumor suppressor complex is mediated by the chaperonin TRiC" Molecular Cell, Vol. 4, No. 6, December 1999 (1999-12), pages 1051-1061, XP002394305.

In accordance with MPEP Sections 609 and 707.05(b), it is requested the documents cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-SB/08b) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO/SB/08b. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

Respectfully submitted,

Date: Nov. 14, 2006

By: Sherri L. Oslick

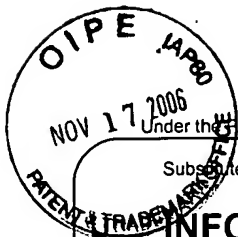
Sherri L. Oslick, Ph.D.

Reg. No. 52,087

**McDonnell, Boehnen Hulbert & Berghoff**

300 South Wacker Drive

Chicago, IL 60606



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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 3

**Complete if Known**

Application Number	10/535,447
Filing Date	May 19, 2005
First Named Inventor	Albert K. Tai
Art Unit	N/A
Examiner Name	N/A
Attorney Docket Number	05-981-H5

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	US- 6,071,715	06-06-2000	Qian et al.	
		US-			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> "Number" <sup>4</sup> "Kind Code" <sup>5</sup> (if known)				
	A2	WO 97/41433	11-6-1997	Cancer Research Campaign Technology Limited		
	A3	WO 99/41376	08-19-1999	Curagen Corporation		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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Application Number	10/535,447
Filing Date	May 19, 2005
First Named Inventor	Albert K. Tai
Art Unit	N/A
Examiner Name	N/A
Attorney Docket Number	05-981-H5

Sheet

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of

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	A4	Li Wen-Zhuo et al: "Tcp20, a subunit of the eukaryotic TRiC chaperonin from humans and yeast" Journal of Biological Chemistry, Vol. 269, No. 28, 1994, pages 18616-18622, XP002394303.	
	A5	Kubota Hiroshi et al.: "Structures and co-regulated expression of the genes encoding mouse cytosolic chaperonin CCT subunits", European Journal of Biochemistry, Vol. 262, No. 2, June 1999 (1996-06), pages 492-500, XP002394304.	
	A6	Feldman Douglas E. et al.: "Formation of the VHL-elongin BC tumor suppressor complex is mediated by the chaperonin TRiC" Molecular Cell, Vol. 4, No. 6, December 1999 (1999-12), pages 1051-1061, XP002394305.	

Examiner  
SignatureDate  
Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

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2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.